



**BIG:
BOATING
INFRASTRUCTURE
GRANT PROGRAM

POLICIES &
PROJECT
SELECTION**

12

FEBRUARY 2006

Interagency Committee for Outdoor Recreation

- Our Mission*** Provide leadership and funding to help our partners protect and enhance Washington's natural and recreational resources for current and future generations.
- Our Services*** Statewide strategic investments through policy development, grant funding, technical assistance, coordination, and advocacy.
- Our Values*** Efficient, fair, and open programs conducted with integrity. The results foster healthy lifestyles and communities, stewardship, and economic prosperity in Washington.



CONTENTS

INSTRUCTIONS	1
Introduction	1
Contacting IAC – Application Submission Address.....	1
Applicability	1
Related Information.....	1
GENERAL PROGRAM AND POLICY INFORMATION	2
Purpose	2
State and Federal Policies.....	2
Eligible Grant Recipients	2
Project Eligibility	2
Revenue Source	3
Fund Limits.....	3
Evaluation Process	3
Application Process Flow Chart & Schedule	4
Application Process.....	5
Application Deadlines.....	6
Application Materials	6
Estimated Funds.....	7
Matching and Donated Resources	7
Evaluation Question Format For Applicants.....	9
Authorizing Resolution	11
APPENDIX A: EVALUATION SCORING CRITERIA	12
APPENDIX B: SAMPLE PROGRAM NARRATIVE.....	14
APPENDIX C: POST APPROVAL REQUIREMENTS.....	17
Federal Forms: Assurances—Non-Construction Programs – 424B	19
Federal Forms: Assurances—Construction Programs - 424D.....	21
Federal Forms: Certification Regarding Debarment - DI-2010.....	23
NEPA Compliance Checklist - 3-2185	26
Federal Aid Section 7 Evaluation Form – Phase I.....	27



INSTRUCTIONS

Introduction

This manual contains policies and instructions needed to complete a grant application for the Boating Infrastructure Grant (BIG) Program. The Interagency Committee for Outdoor Recreation (IAC) administers this program.

Most of this information may be submitted on-line using IAC's computerized PRoject Information System (PRISM). A few application items cannot be submitted on-line. These include the application authorization memo, evaluation question responses, etc., which must be delivered to the address below.

Contacting IAC, Application Submission Address

Interagency Committee for Outdoor Recreation
Natural Resources Building
1111 Washington Street SE
PO Box 40917
Olympia, WA 98504-0917

Phone (360) 902-3000
FAX (360) 902-3026
TDD (360) 902-1996
E-mail info@iac.wa.gov

Internet Web Page ~ <http://www.iac.wa.gov>

IAC grants managers are available to assist by answering questions concerning the information contained in this manual, please feel free to call.

Applicability

Not all elements in this manual are applicable to every grant proposal. Complete only the information that applies to your project.

Related Information

Related information is contained in:

- ▶ *Development Projects: Policies* (Manual 4)
- ▶ *Funded Projects: Policies & the Project Agreement* (Manual 7)
- ▶ *Reimbursements: LAC/SRFB Grant Programs* (Manual 8)
- ▶ 50 Code of Federal Regulations (CFR) Part 86, *Boating Infrastructure Grant Program: Final Rule*.

GENERAL PROGRAM & POLICY INFORMATION

Purpose

The purpose of this program is to develop and renovate boating facilities targeting recreational boats 26 feet and larger. Funds may also be used to provide information and enhance boater education.

State and Federal Policies

IAC's Board first adopted BIG Program policies in 2001 in an open public meeting. All program policies are adopted in such meetings.

Applicants and applications must meet all federal eligibility requirements as specified in 50 Code of Federal Regulations Part 86, Boating Infrastructure Grant Program; Final Rule.

Eligible Grant Recipients

- ▶ Municipal subdivisions (cities, towns, counties, and districts: port, park and recreation, public utility, etc.)
- ▶ Qualified nonprofit organizations
- ▶ Qualified private operators
- ▶ State agencies
- ▶ Tribal governments.

A "qualified" private operator or nonprofit organization:

- ▶ Is registered with the State of Washington's Secretary of State;
- ▶ Has an equivalent successor identified in its articles of organization;
- ▶ Has been active in recreational boating for a minimum of 3 years;
- ▶ Does not require exclusive use of the facilities funded through this program;
- ▶ Does not discriminate on the basis of race, religion, creed, gender, disability, or income;
- ▶ Provides evidence that its primary purpose or business is recreational boating; and
- ▶ Meets federal eligibility requirements.

Project Eligibility

Eligible project include:

Development and/or Renovation

- ▶ Boarding floats, transient moorage floats, fixed docks, piers, buoys
- ▶ Breakwaters
- ▶ Dinghy docks
- ▶ Navigational aids
- ▶ Upland support facilities – restrooms/showers, utilities, etc.

Education and Information

- ▶ Charts, guides, brochures.

Land acquisition is not eligible in this program.

Revenue Source Funds come from a portion of the federal Aquatic Resources Trust Fund as allowed by law.

Fund Limits There are two funding categories for the BIG Program: Tier 1 and Tier 2. The primary differences in the categories are fund limits and evaluations. This summary is provided to help explain the similarities and differences in these categories.

Tier 1: Requests must be from \$5,000 to \$95,000 per project.

Tier 2:

- ▶ Applicants must request a minimum of \$100,001 per project.
- ▶ Applications are reviewed by IAC staff for eligibility and then forwarded, without State evaluation, for national competition.

Project applicants must match a portion of the grant award by contributing resources to the project. ***A 25% match is required for all projects.***

Projects with a match higher than 25% will receive additional points under one question included in the evaluation criteria.

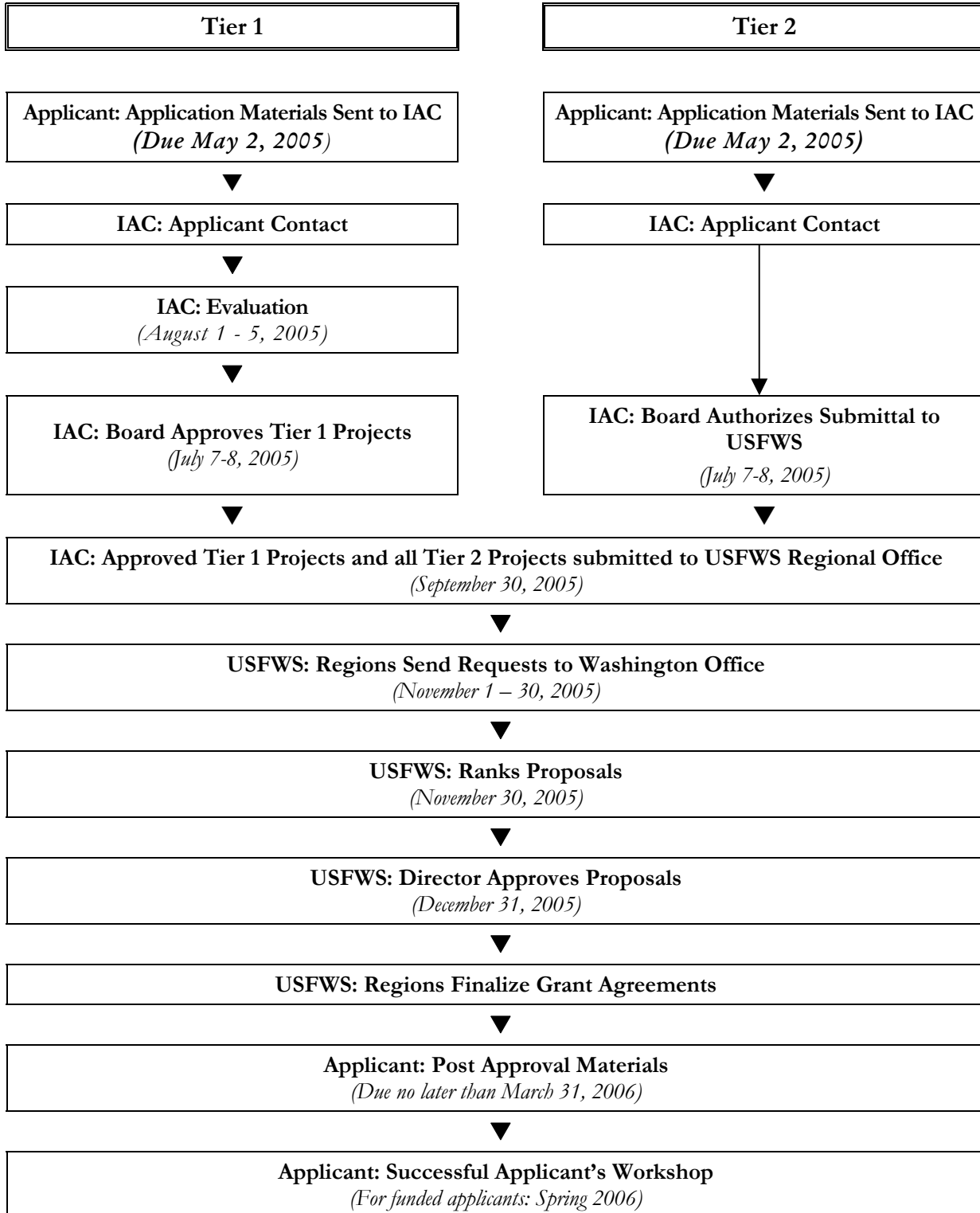
Evaluation Process

Evaluators will rank project proposals using the criteria in Appendix A (page 12), as established by the US Fish & Wildlife Service (USFWS).

- ▶ Tier 1 – An IAC approved evaluation team will evaluate projects and provide a ranked list for consideration. Typically the Boating Facilities Program Advisory Committee serves as the evaluation team. IAC's Board/Director will approve the final list of projects to be sent to the federal government for funding consideration.
- ▶ Tier 2 – IAC's Board/Director will also approve the list of Tier 2 proposals to be sent to the USFWS without state evaluation. The USFWS will evaluate Tier 2 projects as part of the national competition and will grant final funding approval.

BIG: Application Process Flow Chart

(Pending Congressional Approval)



Application Process

1. ***Submit Application to IAC.*** IAC strongly encourages applicants to apply on-line using PRISM. (Maps, plans and visuals may be attached in PRISM.) The required data must be input and sent to IAC by clicking the “submit” button by the deadline. IAC Manual #22, *Using PRISM*, contains more information.

The application authorization form, which must include an original signature, must be postmarked by the application deadline.

For those without access to a computer, IAC Manual #5, *Application Instructions*, provides an application checklist, blank forms, and detailed instructions. Completed and *unbound* forms, maps, plans, and visuals should be mailed or hand carried flat/unfolded to IAC. Do not send faxes.

Retain at least one copy of all materials for your records. IAC will return *applications that are illegible or postmarked after the due date.*

2. ***Notice of Completion/Deficiencies.*** After receipt and review of the application, IAC will send you an application checklist, current program schedule, and a copy of your Project Summary and Cost Estimate. This generally occurs within a month of the application deadline.
3. ***Applicant Contact and Possible On-Site Inspection.*** As early in the funding cycle as possible, an IAC grants manager will contact each applicant to review project application information. IAC grants managers may visit project sites.
4. ***Technical Completion Deadline.*** The Technical Completion Deadline is the date by which *all* application materials must be complete, in final form, and received by IAC.
5. ***Evaluation.*** An evaluation team reviews and scores Tier 1 projects submitted for funding. The evaluation process results in a ranked list of projects that is used by staff to develop a funding recommendation for IAC’s Director.
6. ***Certification of Sponsor Match.*** Before final funding approval, IAC sends a letter to applicants who may be funded requesting verification that their matching share is committed and available.
7. ***Preliminary Approval.*** IAC’s Board/Director approves the Tier 1 and Tier 2 projects that will be forwarded to the US Fish and Wildlife Service (USFWS).
8. ***USFWS Approval.*** USFWS ranks and approves both Tier 1 and Tier 2 projects as part of a national competition. They will then finalize their grant agreements with IAC.
9. ***Post Approval Materials.*** After approval of funding, successful applicants must provide additional information. IAC will send a letter and checklist requesting this supplemental material, described on page 17. The items needed are based on project type and will help ensure eligibility and adequate control and tenure. Your IAC grants manager is available to

assist if necessary.

Documents must be provided within 90 days of IAC funding approval. We do, however, encourage applicants to provide this information as soon as possible so we can distribute signed Project Agreements at our Successful Applicant Workshop(s). Post approval requirements are described in Appendix E, page 17.

10. ***Successful Applicant Workshops.*** After funding approval, IAC will conduct a Successful Applicant Workshop. A representative from each agency awarded a grant must attend this meeting.
 - a. Describes procedures for funded projects,
 - b. Explains information included in the Project Agreement,
 - c. Discusses reimbursement procedures,
 - d. Distributes Project Agreements to applicants that have completed all post approval requirements, and
 - e. Addresses other pertinent issues.

Application Deadlines

Applications for each category must be submitted (postmarked or delivered) by May 2, 2005.

Application Materials

A complete grant application consists of:

- ▶ *A PRISM application [online submission preferred].*
- ▶ *Maps, plans, and visuals.* See Manual 5 for details.
- ▶ *Authorizing Resolution.* The Resolution (page 11) must be adopted in an open public meeting.
- ▶ *Written narrative.* Tier 2 applicants only must also provide a written narrative that describes the project: *Needs, Objectives, Approach, Benefits, Results, and Costs.* Appendix B (page 14) contains a sample narrative.
- ▶ *Evaluation question responses.* Applicants must submit written responses to the team-scored evaluation criteria in Appendix A. At your request, IAC staff will review/critique your written responses to these questions. To obtain this review, submit a written draft to your IAC grants manager by June 15, 2005. Applicants may use the forms on page 9 *or* submit responses as follows:
 - ▷ Use white, 8½ x 11 inch paper, with 1-inch margins.
 - ▷ Use a font such as Arial or Times Roman, 12-point size.
 - ▷ On the top of each page print the applicant and project name, and date written.
 - ▷ For each question, and in order, print the question's number, followed by the question/title, and then your answer. Each question must have its own separate answer.
 - ▷ Submit no more than three single-sided pages.

These pages can be attached to your PRISM file.

**Estimated
Funds
Available**

Pending Congressional approval, grant awards will be made by Spring 2006.
Estimated funds available for the two categories are:

- ▶ Tier 1 - \$95,000
- ▶ Tier 2 – no estimate.

**Matching and
Donated
Resources**

Applicants will be asked to verify the availability of the matching share approximately 30 days before grants are awarded. Matching resources may include bonds, grants, labor, equipment, materials, etc. All matching resources must be an integral and necessary part of the approved project. IAC's policies regarding valuation of donations and corrections labor are in Manual #5, *Application Instructions*.



BIG: Evaluation Questions

**All Applicants Must Answer The Following Questions
(Applicants may use these forms or submit per instructions on page 6.)**

(1) Under this proposal, will facilities be constructed, renovated, and maintained for tie-up facilities for transient nontrailerable recreational vessels 26 feet or longer? Explain.

(2) Does this proposal provide for public/private and public/public partnership efforts to develop, renovate, and maintain tie-up facilities? (These partners must be other than the US Fish & Wildlife Service and IAC.) Explain.

(3) Does this proposal use innovative techniques to increase the availability of tie-up facilities for transient nontrailerable recreational vessels (includes education/information)? Explain.

(4) Does this proposal include private, local, or other State funds in addition to the non-federal match? Explain.

(5) Is this proposal cost efficient? Explain. (Proposals are cost efficient when the tie-up facility or access site's features add a high value compared with the funds from the proposal, for example, where you construct a small feature such as a transient mooring dock within an existing harbor that adds high value and opportunity to existing features (restrooms, utilities, etc.). A proposal that requires installing all of the above features would add less value for the cost.)

(6) Does this proposal provide a significant link to prominent destination way points, such as those near metropolitan population centers, cultural or natural areas, or that provide safe harbors from storms? Explain.

(7) Does this proposal provide access to recreational, historic, cultural, natural, or scenic opportunities of national, regional, or local significance? Explain.

(8) Does this proposal provide significant positive economic impacts to a community? For example, is it a project that costs \$100,000 and attracts a number of boaters who altogether spend \$1 million a year in the community? Explain.

(9) Does this proposal include multi-state efforts that result in coordinating location of tie-up facilities? Explain.

BIG: Authorizing Resolution
You may reproduce on your own paper; text may not change.

Organization Name _____ Resolution No. _____

Project Name(s) _____

A resolution authorizing application(s) for funding assistance for a Boating Infrastructure Grant Program (BIG) project to the Interagency Committee for Outdoor Recreation (IAC).

WHEREAS, under the provisions of BIG, federal funding assistance is requested to aid in financing the cost of facility development, or information and education; and

WHEREAS, our organization considers it in the best public interest to complete the development or information and education project described in the application;

NOW, THEREFORE, BE IT RESOLVED, that:

1. The _____ [MAYOR, DIRECTOR, PRESIDENT, ETC.] be authorized to make formal application to IAC for funding assistance;
2. Any fund assistance received be used for implementation of the project referenced above;
3. Our organization hereby certifies that its share of project funding is committed and will be derived from
 [SPONSOR MATCHING RESOURCES]: _____

 _____;
4. We acknowledge that we are responsible for supporting all non-cash commitments to the sponsor share should they not materialize; [if applicable]
5. We acknowledge that any facility developed with IAC financial aid must be placed in use as an outdoor recreation facility and be retained in such use for a minimum of twenty years unless otherwise provided and agreed to by our organization, the IAC, and the US Fish & Wildlife Service;
6. We have read both the federal guidelines and state policies for the BIG program and agree to abide by those guidelines and policies; and
7. This resolution becomes part of a formal application to IAC; and
8. We are providing appropriate opportunity for public comment on this application.

This resolution was adopted by our organization during the meeting held:

Location _____ Date _____

Signed and approved by the following authorized representative:

Signed _____

Title _____ Date _____

Attest: _____

Approved as to form _____

Appendix A: Evaluation Scoring Criteria ¹

Boating Infrastructure Grant Program

The BIG Program assists in developing and renovating boating facilities that target recreational vessels 26 feet and longer. Funds also provide information to enhance boater education.

BIG - Criteria Summary		
#	Title	Point Range
1	State plan priorities	0 – 15
2	Partnerships	5, 10, or 15
3	Innovative techniques	0 – 15
4	Match	5, 10, or 15
5	Cost efficiencies	0 – 10
6	Links to prominent way points	0 – 10
7	Access to significant opportunities	5, 10, or 15
8	Economic impacts	1 – 5
9	Multi-State tie-up coordination	0 – 5
TOTAL POINTS POSSIBLE = 105		

¹ The US Fish and Wildlife Service established these criteria for use in federal fiscal years 2000-2005. IAC staff will notify applicants if the USFWS modifies the criteria for federal fiscal year 2006 or for any subsequent grant round.

Boating Infrastructure Grant Program

Evaluation Criteria

- (1) **Plan to construct, renovate, and maintain tie-up facilities** for transient nontrailerable recreational vessels following priorities identified in your State's program plan that the Secretary of the Interior has approved under section 7404(c) of the Sportfishing and Boating Safety Act.² 15 points.
- (2) **Provide for public/private and public/public partnership** efforts to develop, renovate, and maintain tie-up facilities. These partners must be other than the Service and lead State agency:
- (i) One partner 5 points.
 - (ii) Two partners 10 points.
 - (iii) Three or more partners 15 points.
- (3) **Use innovative techniques** to increase the availability of tie-up facilities for transient non-trailerable recreational vessels (includes education/information). 0 – 15 points.
- (4) **Use innovative techniques** in addition to the non-Federal match described in Sec. 86.42:³
- (i) Twenty-six percent to thirty-five percent 5 points.
 - (ii) Between thirty-six and forty-nine percent 10 points.
 - (iii) Fifty percent and above 15 points.
- (5) **Are cost efficient.** Proposals are cost efficient when the tie-up facility or access site's features add a high value compared with the funds from the proposal, for example, where you construct a small feature such as a transient mooring dock within an existing harbor that adds high value and opportunity to existing features (restrooms, utilities, etc.). A proposal that requires installing all of the above features would add less value for the cost. 0 – 10 points.
- (6) **Provide a significant link** to prominent destination way points such as those near metropolitan population centers, cultural or natural areas, or that provide safe harbors from storms. 0 – 10 points.
- (7) **Provide access** to recreational, historic, cultural, natural, or scenic opportunities of national, regional, or local significance. Projects that provide access to opportunities of national, regional, or local significance receive 5 points for each, for: Maximum of 15 points.
- (8) **Provide significant positive economic impacts** to a community. For example, a project that costs \$100,000 and attracts a number of boaters who altogether spend \$1 million a year in the community. 1 – 5 points.
- (9) **Include multi-State efforts** that result in coordinating location of tie-up facilities. 0 – 5 points.

Total possible points 105 points.

² This question was not used to evaluate proposals in federal fiscal years 2000 – 2005. IAC will notify applicants if it will be used in future grant grounds.

³ This is Section 86:42, 50 CFR Part 86 Boating Infrastructure Grant Program Final Rule.

Appendix B: Sample Program Narrative

Required for Tier 2 Applicants

STATE: California

PROJECT NO.: F - 92- B

PERIOD: September 1, 1998 to September 1, 2000

PROJECT TITLE: Lake San Antonio Public Access. Monterey County

JOB TITLE: Boat Launching Facilities Improvements

OBJECTIVE:

To improve three of the five existing boat launching facilities at Lake San Antonio: Pleyto Launch Ramp on the North Shore, Lynch Boat Launch Ramp on the South Shore and Harris Creek Boat Launch Ramp on the South Shore.

NEED:

This is a cooperative project between the Department of Boating and Waterways (DBW) and the County of Monterey to upgrade the boat launching ramps at Lake San Antonio, which is located on the San Antonio River approximately 22 miles north of the town of Paso Robles in Monterey County. The San Antonio River is a tributary of the Salinas River, which flows north to the Pacific Ocean at Monterey Bay. The Lake San Antonio dam was built in 1962 to control the waters of the Salinas River. Lake San Antonio is 14 miles long, has 55 miles of shoreline and a maximum depth of nearly 200 feet. Owned by Monterey County, Lake San Antonio is the County's premier freshwater recreation area. The area offers visitors year round activities including camping, fishing, swimming, boating and water-skiing. The reservoir has approximately 5,700 surface acres and supports a warm water fishery as well as trout in the winter. Services include boat berthing, fuel docks, general store, cabin rentals, restrooms, paved parking, five boat launching ramps and boarding floats. There are five boat-launching facilities at Lake San Antonio identified as North Shore, Basham, Pleyto, Lynch and Harris Creek. The North Shore facility was developed with (DBW) grant funds in 1985 and the Basham launching facility was improved with WCB funds in 1987. The existing parking area improvements at Pleyto, Lynch and Harris are all more than 30 years old and the paving in these three areas has served its functional and economic life.

RESULTS AND EXPECTED BENEFITS:

This project will upgrade and improve existing facilities in three locations and prevent further deterioration to those facilities. Upgrading this project will improve boat access to Lake San Antonio, which provides wildlife viewing, boating and fishing opportunities for the public.

APPROACH:

After inspecting the launching facilities, it is advisable and cost effective to improve the existing facilities. The proposed project is primarily a major repaving of the large parking areas at Pleyto, Lynch, and Harris Creek launching facilities. The work at Pleyto Launch Ramp includes paving 138,000 square feet of parking area with asphalt concrete, 31,000 lineal feet of parking space striping, and 785 feet of curbing. The work at Lynch Launch Ramp includes paving the upper and lower parking areas. The combined area to be paved is 396,000 square feet and includes 60,000 feet of striping and 3,000 feet of curbing. The Harris Creek Launch Ramp also has upper and lower parking areas, however, only the upper area will be improved. The work will include paving 221,000 square feet, 54,000 feet of striping and 2,080 feet of curbing. The PROJECT also includes amenities at each location such as slope protection work, drainage facilities, parking barriers, signs, night lighting, landscaping, and irrigation systems.

Each of the parking areas will be redesigned in an effort to improve the traffic flow and increase the number of parking spaces. Permanent project signs will be provided at each site which will give credit to the (DBW) for grant funding, to Monterey County for operation of the facilities and to identify the funding by the Federal Aid in Sport Fish Restoration Account.

Cost Estimate:

Pleyto Launching Area			
Parking Area Work	\$128,000.00		
Amenities	<u>\$ 20,000. 00</u>		
Subtotal	\$148,000.00		\$148,000.00
Lynch Launching Area			
Parking Area Work	\$355,000.00		
Amenities	<u>\$ 30,000.00</u>		
Subtotal	\$385,000.00		\$385,000.00
Harris Creek Launching Area			
Parking Area Work	\$208,000.00		
Amenities	<u>\$ 20,000.00</u>		
Subtotal	\$228,000.00		<u>\$228,000.00</u>
Combined Subtotal			\$761,000.00
Contingency			\$ 76,000.00
Engineering/Inspection			<u>\$ 76,000.00</u>
TOTAL ESTIMATED COST			\$913,000.00

The twenty-five percent (25%) State match will be from the Department of Boating and Waterways (California Harbors and Watercraft Revolving Fund).

OPERATION REQUIREMENTS:

The Lake Antonio Public Access area is owned by the County of Monterey, who has been operating and maintaining the site since 1962. The County has agreed to enter into a twenty-year agreement with the Department of Boating and Waterways to continue to operate and maintain the facilities.

CEQA REQUIREMENTS:

The project is exempt under CEQA pursuant to Section 15301, Class 1, repair or minor alteration of existing structures, facilities or topographical features. The Notice of Exemption has been filed by the County of Monterey for the project (see attached copy).

PROJECT LOCATION:

Lake San Antonio is located in the south end of the Salinas Valley on the San Antonio River, tributary of the Salinas River which flows north to the Pacific Ocean at Monterey Bay; Highways 1, 101 and 46 are the major routes to the area. The North Shore can be reached by car from either King City or Bradley via Jolon Road north bound to Pleyto Road, then south to the project site. The South Shore can be reached by car from King City via Jolon Road to Interlake Road to San Antonio Road, then north to the project site. All access roads are paved.

Appendix C: Post Approval Requirements

Boating Infrastructure Grant Program Post Approval Checklist				
✓	Item	Page	Development	Non-Capital: Information & Education
	Certification of Matching Share	Page 18	✓	✓
	Milestones	Page 18	✓	✓
	Control and Tenure	Page 18	✓	
	Articles of Incorporation & By-Laws (Private and nonprofit organizations)	Page 18	✓	✓
	Authorizing Resolution (Local agencies and nonprofit orgs.)	Page 11	✓	✓
	Federal Forms			
	▶ Assurances-Non-const. Programs	Page 19	.	✓
	▶ Assurances-Construction Programs	Page 21	✓	.
	▶ Certification Regarding Debarment	Page 23	✓	✓
	NEPA Compliance Checklist	Page 26	✓	✓
	Federal Aid Section 7 Evaluation Form	Page 27	✓	✓
All Post Approval materials are due no later than 3/31/06. (Or 90 days after funding approval whichever comes first.)				

Post Approval Materials The Post Approval Checklist outlines the required materials.

Certification of Matching Share Prior to final funding approval, applicants are asked to verify that their matching share is committed and is available for use. IAC will send a letter to applicants, who may be funded, to request verification of the applicant share.

Resolution ***Local Agencies & Nonprofit Organizations.*** To ensure the applicant's governing board supports the project, provide an original or copy of the Authorizing Resolution approving the request for IAC funding assistance.

Federal Forms Federal grants require applicants to sign additional forms, including a Standard Assurance form (beginning on page 19) and a Lobbying and Disbarment form (beginning on page 23). Please read, sign, and return the applicable forms to IAC.

Milestones	All applicants must complete a Milestone Worksheet. Milestones are used to help manage projects, determine the project reimbursement period, and set the project completion date included in the Agreement. IAC sends this worksheet to applicants shortly before funding is approved.
Control and Tenure Documents	<p>To protect the IAC capital investment, sponsors must have adequate control and tenure of development project areas. This may be documented in several ways, including by showing fee title land ownership, a lease, use agreement, or easement. Before executing a Project Agreement, the applicant must provide IAC with:</p> <ul style="list-style-type: none"> ▶ Current title information for project property <i>owned by the applicant</i>. This information must include: <ul style="list-style-type: none"> ▷ Legal description, ▷ Deed restrictions and encumbrances, ▷ Documentation of current ownership, and ▷ Easements. <p>Be sure and explain the immediate or potential impact of any restriction, easement, or encumbrance.</p> ▶ Copies of applicable leases, easements, or use agreements on the area or property to be developed, <i>if not owned by the sponsor</i>. Under this option: <ul style="list-style-type: none"> ▷ The lease, easement, or use agreement must extend for at least 20 years from the date of final IAC project approval. ▷ The lease, easement, or use agreement may not be revocable at will. ▷ The sponsor must provide evidence that the proposed development and its intended uses are consistent with and legally permissible under the conditions of the lease, easement, or agreement.
Articles of Incorporation & Bylaws	If not previously submitted to IAC, nonprofit organizations must provide a copy of their articles of incorporation, bylaws, and amendments (if applicable).
Environmental Clearance	Applicants must complete a NEPA Compliance Checklist (page 26) and Section 7 Evaluation Form (page 27). Supplemental information may be required for successful applicants.

► Federal Forms: Assurances—Non-Construction Programs – 424B

OMB Approval No. 0348-0040

ASSURANCES – NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to:
 - (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327- 333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

► Federal Forms: Assurances—Construction Programs - 424D

OMB Approval No. 0348-0042

ASSURANCES - CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure nondiscrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681- 1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards, which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

► Federal Forms: Certification Regarding Debarment - DI-2010

U.S. Department of the Interior

Certifications Regarding Debarment, Suspension and Other Responsibility Matters, Drug-Free Workplace Requirements and Lobbying

Persons signing this form should refer to the regulations referenced below for complete instructions:

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions - The prospective primary participant further agrees by submitting this proposal that it will include the clause titled, "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions. See below for language to be used or use this form certification and sign. (See Appendix A of Subpart D of 43 CFR Part 12.)

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions (See Appendix B of Subpart D of 43 CFR Part 12.)

Certification Regarding Drug-Free Workplace Requirements Alternate I. (Grantees Other Than Individuals) and Alternate II. (Grantees Who are Individuals) - (See Appendix C of Subpart D of 43 CFR Part 12)

Signature on this form provides for compliance with certification requirements under 43 CFR Parts 12 and 18. The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of the Interior determines to award the covered transaction, grant, cooperative agreement or loan.

PART A: **Certification Regarding Debarment, Suspension, and Other Responsibility Matters Primary Covered Transactions**

CHECK___IF THIS CERTIFICATION IS FOR A PRIMARY COVERED TRANSACTION AND IS APPLICABLE.

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

- (A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
- (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently INDICTED for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

PART B: **Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions**

CHECK___IF THIS CERTIFICATION IS FOR A LOWER TIER COVERED TRANSACTION AND IS APPLICABLE

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

PART C: **Certification Regarding Drug-Free Workplace Requirements**

CHECK___IF THIS CERTIFICATION IS FOR AN APPLICANT WHO IS NOT AN INDIVIDUAL.

Alternate I. (Grantees Other Than Individuals)

A. The grantee certifies that it will or continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about—
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a) (b) (c) (d) (e) and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on files that are not identified here.**PART D: Certification Regarding Drug-Free Workplace Requirements***CHECK IF THIS CERTIFICATION IS FOR AN APPLICANT WHO IS AN INDIVIDUAL*

Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to the grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

**PART E: Certification Regarding Lobbying
Certification for Contracts, Grants, Loans, and Cooperative Agreements***CHECK IF CERTIFICATION IS FOR THE AWARD OF ANY OF THE FOLLOWING AND THE AMOUNT EXCEEDS \$100,000 A FEDERAL GRANT OR COOPERATIVE AGREEMENT; SUBCONTRACT, OR SUBGRANT UNDER THE GRANT OR COOPERATIVE AGREEMENT**CHECK IF CERTIFICATION FOR THE AWARD OF A FEDERAL LOAN EXCEEDING THE AMOUNT OF \$150,000, OR A SUBGRANT OR*

SUBCONTRACT EXCEEDING \$100,000, UNDER THE LOAN

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have **been paid or will be** paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, and officer or employee of Congress or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

As the authorized certifying official, I hereby certify that the above specified certifications are true:

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

TYPED NAME AND TITLE

DATE

► NEPA Compliance Checklist - 3-2185

Grant/Project Name:

This proposal ☐ is ☐ is not completely covered by categorical exclusion No(s) , 516 DM 6 Appendix 1

(check: (✓) one) (Review proposed activities. An appropriate categorical exclusion must be identified before completing the remainder of the Checklist. If a categorical exclusion cannot be identified, or the

proposal cannot meet the qualifying criteria in the categorical exclusion, an EA must be prepared.)

Exceptions:

Will This Proposal (check (✓) yes or no for each item below):

Yes	No	
<input type="checkbox"/>	<input type="checkbox"/>	1. Have significant adverse effects on public health or safety.
<input type="checkbox"/>	<input type="checkbox"/>	2. Have adverse effects on such unique geographic characteristics as historic or cultural resources, park, recreation or refuge lands, wilderness areas, wild or scenic rivers, sole or principal drinking water aquifers, prime farmlands, wetlands, floodplains, or ecologically significant or critical areas, including those listed on the Department's National Register of Natural Land marks.
<input type="checkbox"/>	<input type="checkbox"/>	3. Have highly controversial environmental effects.
<input type="checkbox"/>	<input type="checkbox"/>	4. Have highly uncertain and potentially significant environmental effects or involve unique or unknown environmental risks.
<input type="checkbox"/>	<input type="checkbox"/>	5. Establish a precedent for future action or represent a decision in principle about future actions with potentially significant environmental effects.
<input type="checkbox"/>	<input type="checkbox"/>	6. Be directly related to other actions with individually insignificant, but cumulatively significant environmental effects
<input type="checkbox"/>	<input type="checkbox"/>	7. Have adverse effects on properties listed or eligible for listing on the National Register of Historic Places.
<input type="checkbox"/>	<input type="checkbox"/>	8. Have adverse effects on species listed or proposed to be listed on the List of Endangered or Threatened Species or have adverse effects on designated Critical Habitat for these species.
<input type="checkbox"/>	<input type="checkbox"/>	9. Have material adverse effects on resources requiring compliance with Executive Order 11988 (Floodplain Management), Executive Order 11990 (Pro section of Wetlands), or the Fish and Wildlife Coordination Act.
<input type="checkbox"/>	<input type="checkbox"/>	10. Threaten to violate a Federal, State, local or tribal law or requirement imposed for the protection of the environment.

(If any of the above exceptions receive a "Yes" check (✓), an EA must be prepared.)

Concurrences/Approvals:

Project Leader: _____ Date: _____

State Authority Concurrence: _____ Date: _____
(with financial assistance signature authority, if applicable)

Within the spirit and intent of the Council of Environmental Quality's regulations for implementing the National Environmental Policy Act (NEPA) and other statutes, orders, and policies that protect fish and wildlife resources, I have established the following administrative record and have determined that the grant/agreement/amendment

- ☐ **Is a categorical exclusion as provided by 516 DM 6, Appendix 1. No further NEPA documentation will therefore be made.**
- ☐ **is not completely covered by the categorical exclusion as provided by 516 DM 6, Appendix 1. An EA must be prepared.**
- ☐ **includes other attached information supporting the Checklist.**

Service signature approval:

RO or WO Environmental Coordinator: _____ Date: _____

Staff Specialist, Division of Federal Aid: _____ Date: _____
 (or authorized Service representative with financial assistance signature authority)

► Federal Aid Section 7 Evaluation Form – Phase I

State/Agency: _____

Originated by: _____

Grant Document Number and Title: _____

Project Number: _____

Grant Period: _____

1. Is your project within the affected range of species listed, proposed for listing, or having candidate status under the federal Endangered Species Act or their critical habitats? Y/N If so, list all species and ESUs and the listing status of each. If your answer is "No," go to number 6.
2. Will your project affect any individuals of those species or their critical habitats? Y/N (see instruction sheet for examples)
3. Describe any federal permits (and permit numbers), consultations (and Biological Opinion [BO] tracing numbers), exemptions under ESA section 4(d), or other pertinent authorizations (such as state permits or Corps permits) that you may have. If all of your expected take is authorized, complete this item and go to number 6.
4. Provide a brief general outline of the activities of your project and its objectives, and describe any ways that it may contribute to the conservation of listed species (attach as needed).
5. If you indicated that you will affect ESA species describe: the species involved location, time periods, the nature of the take (e.g., lethal or non-lethal; by trapping/tagging; seining/measuring, why the take will occur and the number of individuals of each species or ESU that you may encounter. Please provide a map. (attach as needed)

6. Agency Approval:

Date

Printed Name and Title